



UNITED STATES
SECURITIES AND EXCHANGE COMMISSION
BROOKFIELD PLACE, 200 VESEY STREET, SUITE 400
NEW YORK, NY 10281-1022

NEW YORK
REGIONAL OFFICE

February 7, 2022

By ECF

Hon. Katherine Polk Failla
United States District Judge
United States District Court for the
Southern District of New York
40 Foley Square
New York, NY 10007

Re: *SEC v. Mattessich*, 18 Civ. 5884 (KPF) (S.D.N.Y.)

Dear Judge Failla:

Plaintiff Securities and Exchange Commission (the “Commission”) respectfully writes to advise the Court that the Commission and Defendant Adam Mattessich (“Mattessich”) have reached an additional set of stipulations concerning the introduction of evidence related to Mattessich’s testimony in an investigation by the Financial Industry Regulatory Authority in December 2013. A copy of these stipulations is attached hereto as Exhibit A.

Respectfully submitted,

/s/ Lee A. Greenwood

Lee A. Greenwood
Senior Trial Counsel

cc: All counsel of record by ECF